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EXAMINER

COLLINS, SCOTT M

ART UNIT

PAPER NUMBER

2143

DATE MAILED: 08/06/2003

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Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/594,518

Applicant(s)

CHILD ET AL.

Examiner

Scott M. Collins

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 15 June 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-42 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-42 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

### Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

### **DETAILED ACTION**

1. Claims 1-42 examined.
2. It is hereby acknowledged that the following papers have been received and placed of record in the file: Pre-Amendment A on 01/16/2001.

#### ***Claim Rejections - 35 USC § 112***

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

4. Claims 2 and 3 recite the limitation "said plurality of attributes" in lines 3-4 of claim 2 and line 2 of claim 3. There is insufficient antecedent basis for this limitation in the claims. In line 2 of claim 2, the phrase "one or more predetermined attributes" is used which could refer to one attribute and not a plurality. Thus, to use the phrase "said plurality" is improper.

#### ***Claim Rejections - 35 USC § 102***

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1-42 are rejected under 35 U.S.C. 102(b) as being anticipated by by "Planning and Deploying a Single Sign-On Solution" by Netscape Communications Corporation, 1997 (herein referred to as Netscape).
6. Referring to claim 1, Netscape has taught a method for global sign-on (GSO) comprising the steps of:
  - a. receiving a user login (Netscape page 3 "Client Authentication and Single Sign-On");

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- b. determining an existence of a first directory entry corresponding to said user in response to a first Lightweight Directory Access Protocol (LDAP) message (Netscape pages 3-4 "Basic Authentication"); and
- c. logging said user into one or more data processing services in response to one or more corresponding second directory entries, and wherein each of said first and second directory entries represents a data structure in accordance with a corresponding first and second predetermined LDAP schema object (Netscape pages 5-6 "Strong Authentication" numbers 5 and 6; page 8, "LDAP Tree Hierarchy and Entry Attributes", 2<sup>nd</sup> paragraph; and pages 15-16, "Mapping DNs to an LDAP entry" and "Planning Access Control").

7. Referring to claim 2, Netscape has taught the method wherein each of said corresponding second predetermined LDAP schema objects has one or more predetermined attributes, each of said one or more attributes having a set of one or more values, and wherein a first one of said plurality of attributes is operable for initiating a corresponding one of said data processing services (Netscape pages 5-6 "Strong Authentication" numbers 5 and 6; page 8, "LDAP Tree Hierarchy and Entry Attributes", 2<sup>nd</sup> paragraph; and pages 15-16, "Mapping DNs to an LDAP entry" and "Planning Access Control").

8. Referring to claim 3, Netscape has taught the method wherein said step of logging said user into one or more data processing systems is in response to first one of said plurality of attributes having a first predetermined data value (Netscape pages 5-6 "Strong Authentication" numbers 5 and 6).

9. Referring to claim 4, Netscape has taught the method wherein said step of logging said user into said one or more data processing services comprises the steps of: for each data

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processing service, reading a user identifier (UID) and a password from a corresponding one of said second directory entries; and logging in said user using said UID and said password (Netscape pages 3-6 "Client Authentication and Single Sign-On").

10. Referring to claim 5, Netscape has taught the method further comprising the step of starting said one or more data processing services in response to one or more third directory entries, each of said third directory entries representing a data structure in accordance with a corresponding third predetermined schema object (Netscape pages 3-6 "Client Authentication and Single Sign-On" where starting is the same as initiating; page 8, "LDAP Tree Hierarchy and Entry Attributes", 2<sup>nd</sup> paragraph; and pages 15-16, "Mapping DNs to an LDAP entry" and "Planning Access Control").

11. Referring to claim 6, Netscape has taught the method further comprising the step of invoking an initialization routine corresponding to each of said data processing services, wherein each of said corresponding third predetermined LDAP schema objects includes a set of one or more attributes, and wherein said initialization routine is determined in response to a value of a first attribute of said set of one or more attributes (Netscape pages 3-6 "Client Authentication and Single Sign-On" where starting is the same as initiating; page 8, "LDAP Tree Hierarchy and Entry Attributes", 2<sup>nd</sup> paragraph; and pages 15-16, "Mapping DNs to an LDAP entry" and "Planning Access Control").

12. Referring to claim 7, Netscape has taught the method wherein said step of logging said user into one or more data processing services includes the step of determining if a first one of said data processing services requires a prerequisite service (Netscape pages 3-6 "Client

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Authentication and Single Sign-On” where inherently every task or service that is required to perform prior to the desired task or service must execute before the desired task or service.).

13. Referring to claim 8, Netscape has taught the method wherein each of said corresponding second predetermined LDAP schema objects has one or more predetermined attributes, each of said one or more attributes having a set of one or more values, and wherein determining if said first one of said data processing services requires a prerequisite service is in response to a preselected value of a first one of said one or more attributes (Netscape pages 3-6 “Client Authentication and Single Sign-On”; page 8, “LDAP Tree Hierarchy and Entry Attributes”, 2<sup>nd</sup> paragraph; and pages 15-16, “Mapping DNs to an LDAP entry” and “Planning Access Control” where inherently every task or service that is required to perform prior to the desired task or service must execute before the desired task or service.).

14. Referring to claim 9, Netscape has taught the method wherein said step of logging said user into one or more data processing services includes the step of determining if a first one of said data processing services takes an identifier value (Netscape pages 3-6 “Client Authentication and Single Sign-On” specifically figure 2, step 4 and figure 3, step 6).

15. Referring to claim 10, Netscape has taught the method wherein determining if a first one of said data processing services takes an identifier value is in response to a fourth directory entry, said fourth directory entry representing a data structure in accordance with a corresponding fourth predetermined LDAP schema object (Netscape pages 3-6 “Client Authentication and Single Sign-On” specifically figure 2, step 4 and figure 3, step 6; page 8, “LDAP Tree Hierarchy and Entry Attributes”, 2<sup>nd</sup> paragraph; and pages 15-16, “Mapping DNs to an LDAP entry” and “Planning Access Control”).

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16. Referring to claim 11, Netscape has taught the method wherein said fourth predetermined LDAP schema object has one or more predetermined attributes, each of said one or more attributes having a set of one or more values, and wherein determining if said first one of said data processing services takes an identifier value is in response to a preselected value of a first one of said one or more attributes (Netscape pages 3-6 “Client Authentication and Single Sign-On” specifically figure 2, step 4 and figure 3, step 6; page 8, “LDAP Tree Hierarchy and Entry Attributes”, 2<sup>nd</sup> paragraph; and pages 15-16, “Mapping DN’s to an LDAP entry” and “Planning Access Control”).

17. Referring to claim 12, Netscape has taught the method further comprising the step of invoking an initialization routine corresponding to said first data processing service in response to an attribute value in a third directory entry corresponding to said first data processing service, said third directory entry representing a data structure in accordance with a corresponding third predetermined LDAP schema object, said initialization routine being determined in response to said attribute value, and wherein said identifier value is passed to said initialization routine (Netscape pages 3-6 “Client Authentication and Single Sign-On” specifically figure 2, step 4 and figure 3, step 6; page 8, “LDAP Tree Hierarchy and Entry Attributes”, 2<sup>nd</sup> paragraph; and pages 15-16, “Mapping DN’s to an LDAP entry” and “Planning Access Control”).

18. Referring to claims 13 and 14, Netscape has taught the method wherein said identifier value is a required or optional identifier value (Netscape pages 3-6 “Client Authentication and Single Sign-On” specifically figure 2, step 4 and figure 3, step 6 where every identifier value – or piece of required information – is inherently either required or optional).

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19. Claims 15-28 do not recite limitations above the claimed invention set forth in claims 1-14 and are therefore rejected for the same reasons set forth in the rejection of claims 1-14 above.

20. Claims 29-42 do not recite limitations above the claimed invention set forth in claims 1-14 and are therefore rejected for the same reasons set forth in the rejection of claims 1-14 above.

***Conclusion***

21. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- a. Cohen et al. U.S. Patent Number 6,178,511 B1
- b. Bradford et al. U.S. Patent Application Number US 2002/0083336 A1
- c. Child et al. U.S. Patent Number 6,556,995 B1
- d. Byrne et al. U.S. Patent Number 6,539,382 B1
- e. Bachmann et al. U.S. Patent Number 6,085,188
- f. Fang et al. U.S. Patent Number 6,240,512 B1
- g. IBM Technical Disclosure Bulletin, "Multi-Modal Data Access", Issue 426, page 1393, October 1, 1999
- h. IBM Technical Disclosure Bulletin, "Handling GSO Checkpoints in a Tivoli Environment", Issue 428, page 1696, December 1, 1999
- i. IBM Technical Disclosure Bulletin, "Flexible DCE User Management through GSO", Issue 429, page 180, January 1, 2000



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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Scott M. Collins whose telephone number is 703.305.7865. The examiner can normally be reached on Mon.-Fri. 8:00 am - 5:30 pm with alt. Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, David A Wiley can be reached on 703.308.5221. The fax phone numbers for the organization where this application or proceeding is assigned are 703.746.7239 for regular communications and 703.746.7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703.305.3900.

smc

July 31, 2003



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